

IN THE  
UNITED STATES PATENT AND TRADEMARK OFFICE

O I P  
MAY 12 2004  
PATENT & TRADEMARK OFFICE  
Inventor(s): Michael R. Krause

Confirmation No.: 5565

Application No.: 10/099,607

Examiner: David A. Wiley

Filing Date: Mar. 15, 2002

Group Art Unit: 2143

Title: ACCESS CONTROL IN A NETWORK SYSTEM

RECEIVED

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

MAY 14 2004

Technology Center 2100

TRANSMITTAL LETTER FOR RESPONSE/AMENDMENT

Sir:

Transmitted herewith is/are the following in the above-identified application:

( ) Response/Amendment ( ) Petition to extend time to respond  
( ) New fee as calculated below ( ) Supplemental Declaration  
( ) No additional fee (Address envelope to "Mail Stop Non-Fee Amendment")  
(X) Other: SIDS; Form PTO-1449; (15) cited references (fee \$ \_\_\_\_\_)

CLAIMS AS AMENDED BY OTHER THAN A SMALL ENTITY						
(1) FOR	(2) CLAIMS REMAINING AFTER AMENDMENT	(3) NUMBER EXTRA	(4) HIGHEST NUMBER PREVIOUSLY PAID FOR	(5) PRESENT EXTRA	(6) RATE	(7) ADDITIONAL FEES
TOTAL CLAIMS		MINUS		= 0	X \$18	\$ 0
INDEP. CLAIMS		MINUS		= 0	X \$86	\$ 0
[ ] FIRST PRESENTATION OF A MULTIPLE DEPENDENT CLAIM						+ \$290 \$ 0
EXTENSION FEE	1ST MONTH \$110.00	2ND MONTH \$420.00	3RD MONTH \$950.00	4TH MONTH \$1480.00		\$ 0
OTHER FEES						\$
TOTAL ADDITIONAL FEE FOR THIS AMENDMENT						\$ 0

Charge \$ 0 to Deposit Account 08-2025. At any time during the pendency of this application, please charge any fees required or credit any overpayment to Deposit Account 08-2025 pursuant to 37 CFR 1.25. Additionally please charge any fees to Deposit Account 08-2025 under 37 CFR 1.16 through 1.21 inclusive, and any other sections in Title 37 of the Code of Federal Regulations that may regulate fees. A duplicate copy of this sheet is enclosed.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Alexandria, VA 22313-1450.

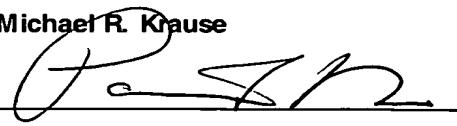
Date of Deposit: May 10, 2004

Typed Name: Patrick G. Billig

Signature: 

Respectfully submitted,

Michael R. Krause

By 

Patrick G. Billig

Attorney/Agent for Applicant(s)  
Reg. No. 38,080

Date: May 10, 2004

O I P E J C 67  
MAY 12 2004  
Inventor(s): Michael R. Krause  
Application No.: 10/099,607

Filing Date: Mar. 15, 2002  
Title: ACCESS CONTROL IN A NETWORK SYSTEM

Confirmation No.: 5565  
Examiner: David A. Wiley  
T-3  
DS120104

Group Art Unit: 2143

RECEIVED

MAY 14 2004

Technology Center 2100

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

This Information Disclosure Statement is submitted:

(X) under 37 CFR 1.97(b), or  
(Within three months of filing national application; or date of entry of national application; or before mailing date of first office action on the merits; whichever occurs last)

( ) under 37 CFR 1.97 (c) together with either a:  
( ) Statement under 37 CFR 1.97(e), or  
( ) a \$180.00 fee under 37 CFR 1.17(p), or  
(After the CFR 1.97 (b) time period, but before final action or notice of allowance, whichever occurs first)

( ) under 37 CFR 1.97 (d) together with a:  
( ) Statement under 37 CFR 1.97(e)(1) or (2), and  
( ) a \$180.00 fee set forth in 37 CFR 1.17(p).  
(Filed after final action, a notice of allowance, on or before payment of the issue fee)

Please charge to Deposit Account **08-2025** the sum of \$0.00. At any time during the pendency of this application, please charge any fees required or credit any overpayment to Deposit Account **08-2025** pursuant to 37 CFR 1.25.

(X) Applicant(s) submit herewith Form PTO 1449 - Information Disclosure Statement together with any required copies of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

( ) A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO Form 1449, as presently understood by the individual(s) designated in 37 CFR 1.56 (c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on form PTO 1449 and is enclosed herewith.

It is requested that the information disclosed herein be made of record in this application.

(X) I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Alexandria, VA 22313-1450. Date of Deposit: May 10, 2004  
OR

( ) I hereby certify that this paper is being transmitted to the Patent and Trademark Office facsimile number \_\_\_\_\_ on \_\_\_\_\_.  
Number of pages: \_\_\_\_\_

Typed Name: Patrick G. Billig

Signature: 

Respectfully submitted,

Michael R. Krause

By

Patrick G. Billig

Attorney/Agent for Applicant(s)  
Reg. No. 38,080

Date: May 10, 2004

Telephone No.: (612) 573-2003



## PATENT APPLICATION

Sheet 1 of 5

FORM PTO-1449

LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION DISCLOSURE  
STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.	APPLICATION NO.	CONFIRMATION NO.
10004123-1	10/099,607	5565
APPLICANT	<b>Michael R. Krause</b>	
FILING DATE	GROUP	
March 15, 2002	2143	

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	PUBLICATION DATE	NAME	Pages, Columns, Lines Where Relevant Passages or Figures Appear
1A	6,286,052	9/2001	McCloghrie et al.	
1B	6,434,624	8/2002	Gai et al.	
1C				
1D				MAY 14 2004
1E				Technology Center 2100
1F				
1G				
1H				
1I				
1J				
1K				

## FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT	Pages/Columns/Lines Where Relevant Passages/Figures Appear	Check if Translation attached
1L					
1M					
1N					
1O					
1P					

## OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

1Q	Brakmo, Lawrence S. et al., "TCP Vegas: End to End Congestion Avoidance on a Global Internet," IEEE Journal on Selected Areas in Communications, Vol. 13, No. 8, pp. 1465-1480 (October 1995).
1R	Cisco Systems, Inc., "Optimizing Your Network Design," Macmillan Publishing USA, pp. 1-23, (1999). < www.cisco.com>
1S	Eloumi, Omar et al., "Improving Congestion Avoidance Algorithms for Asymmetric Networks," IEEE, pp. 1417-1421 (1997).

EXAMINER

DATE CONSIDERED

O P E JC67  
MAY 12 2004  
FORM PTO-1449LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION DISCLOSURE  
STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.	APPLICATION NO.	CONFIRMATION NO.
10004123-1	10/099,607	5565
APPLICANT	<b>Michael R. Krause</b>	
FILING DATE	March 15, 2002	
	GROUP	2143

## REFERENCE DESIGNATION      U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	PUBLICATION DATE	NAME	Pages, Columns, Lines Where Relevant Passages or Figures Appear
2A				
2B				<b>RECEIVED</b>
2C				MAY 14 2004
2D				
2E				Technology Center 2100
2F				
2G				
2H				
2I				
2J				
2K				

## FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT	Pages/Columns/Lines Where Relevant Passages/Figures Appear	Check if Translation attached
2L					
2M					
2N					
2O					
2P					

## OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

2Q	Henderson, Thomas R. et al., "On Improving the Fairness of TCP Congestion Avoidance," IEEE, pp. 539-544 (1998).
2R	Kim, Jin-Ho et al., "TCP Deadlock Due to Coarse Timer Granularities in Unix-Based Systems," Electronics Letters, Vol. 35, No. 14, (July 8, 1999).
2S	Misra, Archan et al., "The Window Distribution of Idealized TCP Congestion Avoidance with Variable Packet Loss," IEEE, pp. 1564-1572 (1999).

EXAMINER

DATE CONSIDERED

J.C. FORM PTO-1449

MAY 12 2004  
LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION DISCLOSURE  
STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.	APPLICATION NO.	CONFIRMATION NO.
10004123-1	10/099,607	5565
APPLICANT		
Michael R. Krause		
FILING DATE	GROUP	
March 15, 2002	2143	

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	PUBLICATION DATE	NAME	Pages, Columns, Lines Where Relevant Passages or Figures Appear
3A				
3B				
3C				
3D				
3E				
3F				
3G				
3H				
3I				
3J				
3K				

RECEIVED

MAY 14 2004

Technology Center 2100

## FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT	Pages/Columns/Lines Where Relevant Passages/Figures Appear	Check if Translation attached
3L					
3M					
3N					
3O					
3P					

## OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

3Q	Moldeklev, Kjersti et al., "How a Large ATM MTU Causes Deadlocks in TCP Data Transfers," IEEE/ACM Transactions on Networking, Vol. 3, No. 4, pp. 409-422 (August 1995).
3R	Parsa, Christina et al., "Improving TCP Congestion Control over Internets with Heterogeneous Transmission Media," IEEE Computer Society, Seventh International Conference on Network Protocols (ICNP'99), pp. 213-221 (October 31-November 3, 1999).
3S	Ren, Jing-Fei et al., "Flow Control and Congestion Avoidance in Switched Ethernet LANs," IEEE, pp. 508-512 (1997).

EXAMINER

DATE CONSIDERED

FORM PTO-1449

LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION DISCLOSURE  
STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.	APPLICATION NO.	CONFIRMATION NO.
10004123-1	10/099,607	5565
APPLICANT		
Michael R. Krause		
FILING DATE	March 15, 2002	GROUP
		2143

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	PUBLICATION DATE	NAME	Pages, Columns, Lines Where Relevant Passages or Figures Appear
4A				
4B				
4C				
4D				
4E				
4F				
4G				
4H				
4I				
4J				
4K				

RECEIVED

MAY 14 2004

Technology Center 2100

## FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT	Pages/Columns/Lines Where Relevant Passages/Figures Appear	Check if Translation attached
4L					
4M					
4N					
4O					
4P					

## OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

4Q	Rohrs, Charles E. et al., "A Control Engineer's Look at ATM Congestion Avoidance," IEEE, pp. 1089-1094 (1995). <input checked="" type="checkbox"/>
4R	Rosenberg, Jonathan et al., "Timer Reconsideration for Enhanced RTP Scalability," IEEE, pp. 233-241 (1998). <input checked="" type="checkbox"/>
4S	"Congestion Avoidance Overview," pp. QC-69-QC76. <input checked="" type="checkbox"/>

EXAMINER

DATE CONSIDERED

FORM PTO-1449

O I P E JC  
MAY 12 2004  
SEARCHED INDEXED  
LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION DISCLOSURE  
STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO. <b>10004123-1</b>	APPLICATION NO. <b>10/099,607</b>	CONFIRMATION NO. <b>5565</b>
APPLICANT <b>Michael R. Krause</b>		
FILING DATE <b>March 15, 2002</b>	GROUP <b>2143</b>	

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	PUBLICATION DATE	NAME	Pages, Columns, Lines Where Relevant Passages or Figures Appear
5A				
5B				
5C				MAY 14 2004
5D				Technology Center 2100
5E				
5F				
5G				
5H				
5I				
5J				
5K				

## FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT	Pages/Columns/Lines Where Relevant Passages/Figures Appear	Check if Translation attached
5L					
5M					
5N					
5O					
5P					

## OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

5Q	"Weighted Random Early Detection on the Cisco 12000 Series Router," pp. 1-26.	✓
5R		
5S		

EXAMINER

DATE CONSIDERED